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PTO/SB/05 (03-01)

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. P1393

First Inventor Chieh-Sheng Lin

Title Expression Vector Hirudin and Transformed Cells and Transgenic...

Express Mail Label No. EV062921344US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)

2. ☒ Applicant claims small entity status. See 37 CFR 1.27.

3. ☒ Specification [Total Pages 28]

(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]

5. Oath or Declaration [Total Pages 2]

a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

b. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☒ paper

c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney

11. ☐ English Translation Document (if applicable)

12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☒ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. ☒ Other: Check No's 8887 & 8889

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 24,394 (insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name LaRiviere, Grubman & Payne, LLP

P.O. Box 3140

Address

City Monterey State CA Zip Code 93942

Country US Telephone 831-649-8800 Fax 831-649-8835

Name (Print/Type) Mark E. Andrews Registration No. (Attorney/Agent) 43,472

Signature Mark Andrews Date Jan. 18, 2002

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL
for FY 2002

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$)**602.00****Complete if Known**

Application Number	
Filing Date	January 18, 2002
First Named Inventor	Chieh-Sheng Lin
Examiner Name	
Group Art Unit	
Attorney Docket No.	P1393

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:

Deposit Account Number	
Deposit Account Name	

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account
FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	\$370.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	
SUBTOTAL (1)			(\$) 370.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
32	-20** = 12	9	108.00
5	-3** = 2	42	84.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 84	202 42	Independent claims in excess of 3	
104 280	204 140	Multiple dependent claim, if not paid	
109 84	209 42	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$)192.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**40.00****SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Mark E. Andrews	Registration No. (Attorney/Agent)	43,472	Telephone	831-649-8800
Signature	<i>Mark E. Andrews</i>			Date	Jan. 18, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

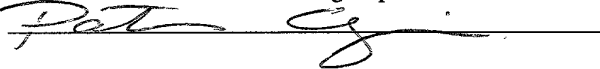
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Date of Deposit: January 18, 2002

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Typed or Printed Name of Person Mailing Paper or Fee: Patricia Aguillon

Signature: 

PATENT
Docket No. P1393

**IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: CHIEH-SHENG LIN
YU-LING SUN
PING-CHENG YANG
CHING-FU TU
SHINN-CHIH WU

SERIAL NO.: FILED HEREWITH EXAMINER: UNASSIGNED

FILED: FILED HEREWITH ART UNIT: UNASSIGNED

FOR: EXPRESSION VECTOR FOR HIRUDIN AND TRANSFORMED
CELLS AND TRANSGENIC ANIMALS CONTAINING SAID
VECTOR

**BOX PATENT APPLICATIONS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231**

TRANSMITTAL

Dear Sir:

In connection with the above-referenced matter, transmitted herewith are the following:

1. Utility Patent Application Transmittal (1 page);
2. Fee Transmittal FY 2001 (1 page);
3. Application Data Information Sheet (3 pages);
4. Specification (15 pages); Claims (3 pages); and Abstract (1 page);
5. Informal Drawings (8 sheets, 8 figures);

6. Sequence Listings in paper format (3 sheets, 12 sequences);
7. Sequence Listing in Computer Readable Format (1 diskette);
8. Statement Verifying identity of Sequence Listings in both formats (1 page);
9. Declaration and Power of Attorney (2 pages);
10. Recordation Form Cover Sheet (1 page);
11. Assignment Agreement (1 page);
12. Information Disclosure Statement (2 pages);
13. Information Disclosure Statement by Applicant Form (1 page);
14. U.S. Patent No. 5,866,399 (6 pages);
15. U.S. Patent No. 5,824,505 (42 pages);
16. French Patent No. 0 158 564 (91 pages);
17. German Patent No. 0 168 342 (130 pages);
18. German Patent No. 0 171 024 (30 pages);
19. Great Britain Patent No. 0 412 526 (21 pages);
20. Great Britain Patent No. 0 687 731 (30 pages);
21. Article "The Complete Amino Acid Sequence of Hirudin, a Thrombin Specific Inhibitor; Application of Colour Carboxymethylation (5 pages);
22. Check No. 8889 in the amount of \$562.00 to cover the filing fees;
23. Check No. 8887 in the amount of \$ 40.00 to cover recordation fees;
24. Post card in acknowledgment of receipt of all transmitted materials.

Please date-stamp the enclosed post card and return to the undersigned in acknowledgment of receipt of all transmitted materials.

Respectfully submitted,



Mark E. Andrews
Reg. No. 43,472

MEA:kg1
January 18, 2002
LARIVIERE, GRUBMAN & PAYNE, LLP
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Monterey, CA 93942
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37 C.F.R. §1.821(f) Verification Statement

I hereby state that the information recorded in computer readable form is identical to the written sequence listing.

Respectfully submitted,



Mark E. Andrews
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